



CITY COUNCIL INITIATIVE DESIGNATIONS FISCAL 2017 GUIDELINES & FUNDING REQUIREMENTS

OVERVIEW

The Department of Cultural Affairs and the New York City Council are pleased that your organization has received a designation for one of the following Fiscal 2017 City Council Initiatives:

- Cultural After-School Adventures Program (CASA)**
- Cultural Immigrant Initiative**
- Coalition of Theaters of Color (CTC)**
- Anti-Gun Violence Initiative - Art a Catalyst for Change**

Initiative allocations are designated by City Council members, and administered by DCA. Your organization's award letter identifies the Initiative, the Council member who designated the funds, and the amount of each designation. Each Initiative has separate timing and guidelines; please refer to your Initiative-specific award letter and notification email.

Along with the award letter, your organization is receiving a Grant Agreement for the Initiative-designated funds. Separate Grant Agreements are issued for each type of City Council Initiative. Organizations allocated multiple designations for a particular Initiative will receive a single Grant Agreement combining those designations (e.g., an organization receiving two CASA designations and one CTC designation will receive two separate Grant Agreements: one for CASA and one for CTC). Note that fiscal constraints facing the City may require adjustments to the final allocation during the course of the year.

In order to receive initial payment of the designated funds, your organization must sign and return the required number of Grant Agreements along with the additional material specified. As part of these requirements, your organization will need to complete a Project Synopsis form detailing the funded project. Organizations receiving multiple designations must submit a Project Synopsis for **each** designation (e.g., an organization receiving two CASA designations and one CTC designation will fill out three synopses).

Though the following guidelines and funding requirements are similar to those for the Cultural Development Fund (CDF), please carefully review this entire document as it includes information that is specific to the Initiatives listed above. Refer to your notification email for specific deadlines. A full checklist of requirements is included at the end of this document.

INITIATIVE PROGRAM GUIDELINES

In order to have been considered for FY17 Council Initiative funds, organizations must have first submitted an eligible application to the FY17 Cultural Development Fund (CDF), or be a member of the Cultural Institutions Group (CIG).

The fundamental requirement for all Initiative projects is that they represent a cultural activity of recognized quality that is accessible to the public. Funded programs can be as different as the organizations providing them, but they will all have a common commitment to public service and public participation. In addition to the Initiative-specific guidelines below, recipients may refer to DCA's [CDF Guidelines](#) for more detail about the types of services for which DCA will administer funds.

Program qualifications:

- Initiative programs may not overlap with any CDF-funded project, unless it is a clear and defined expansion of the CDF project or a discrete activity not included in the CDF project's budget;
- Each funded project must include as a principal goal a demonstrable cultural activity of recognized quality that is accessible to the public;
- The project synopsis must be clearly stated and contain measurable goals that can be evaluated during and at the end of the grant period;
- Projects must be within the organization's artistic/cultural, administrative and fiscal capabilities;

- While funded projects may include some aspects of operating costs (e.g., staff salaries, space rental), the project itself should be one that serves the public or your constituency, not the applicant organization; do not ask for projects that are essentially general operating support or internal capacity building.

Funded services **cannot** include:

- Activities taking place outside New York City's five boroughs;
- Activities taking place outside the City's Fiscal 2017 (July 1, 2016–June 30, 2017);
- Fundraising events and receptions;
- Internal capacity building;
- Capital expenses, including the purchase of equipment;
- Religious activities or programs with religious content.

Initiative-specific guidelines:

Initiative designations are made by the members of the City Council, who may have individual requirements or expectations. General Initiative descriptions are provided by the Council and noted below.

CASA:

Eligible programs will be partnerships between a NYC public or charter school and a cultural organization to provide after-school arts educational programming for students at the designated school.

Cultural Immigrant Initiative:

Eligible programs include those that serve a significant number of immigrant/foreign-born New Yorkers, or present or represent the traditions, cultures, and/or experiences of immigrant communities in NYC.

CTC:

Eligible programs include theater-focused activities of organizations working in communities of color.

Anti-Gun Violence Initiative:

Eligible programs will seek to increase arts opportunities, community bonds, and gun violence awareness for individuals that are deeply impacted by gun violence and their communities.

SU-CASA

Eligible programs will be partnerships between a NYC senior center and a cultural organization or artist to provide free participatory arts programming for seniors. The program required a separate application in FY17 which was due November 18th.

FUNDING REQUIREMENTS

Hard copy submissions of the following materials should be assembled into a single package. Refer to the Grant Materials Checklist at the end of this document.

For All Initiative Grantees:

- Grant Agreement
 - A PDF of your organization's Fiscal 2017 Grant Agreement is attached. Print all pages of the Grant Agreement and make THREE DOUBLE-SIDED, STAPLED COPIES (FOUR copies for awards \$100,000 or greater).
 - An authorized signatory for the organization must sign each copy in ink to be returned with other required FY17 Grant Materials (see the following pages). An original signed by DCA will be returned to you once the Grant Agreement is finalized.
 - NOTE: A separate grant agreements will be issued for each City Council Initiative. Organizations receiving multiple designations for an Initiative will receive a single grant agreement combining those designations. (e.g., an organization receiving two CASA designations and one CTC designation will receive two separate grant agreements: one for CASA and one for CTC).

- Project Synopsis Form
 - Use the [Fiscal 2017 City Council Initiative Project Synopsis Form](#) to provide a description of your organization's Initiative program. The information you provide on this form will define the scope of services and will be incorporated as part of the Grant Agreement between your organization and DCA. **One form is required for each Initiative designation; organizations with multiple designations must submit one synopsis per designation.**
 - Detailed instructions on to how to fill out the Project Synopsis are provided on the pages following the form.
 - Completed Project Synopsis forms must be submitted in TWO formats:
 1. Hard Copy
 - You must print hard copies of the completed Project Synopsis form/s and attach the document/s as Exhibit A, starting on page 4 of the Grant Agreement. Each Initiative Grant Agreement will include one of each synopsis form, for a total of three Agreements (4 for any Initiative award greater than or equal to \$100,000).
 - If your organization received multiple designations for any Initiative, each Grant Agreement submitted must include all synopsis forms in numerical order, as identified in the original Notification letter.
 2. Online Upload
 - Completed Project Synopsis forms must *also* be submitted electronically; information from the forms will be imported into a database for the purposes of tracking and reporting.
 - If your organization received multiple designations for a single Initiative, each synopsis form must be uploaded individually.
 - Upload each completed form to <http://www.nyc.gov/html/dcla/html/contact/initiative-application.shtml>
 - Your Grant Agreement cannot be processed without submission of a complete project synopsis form for each designation in both formats.
- Doing Business Data Form
 - The City requires a Doing Business Data Form for each Grant Agreement. Use the following link to access the form:
 - http://www.nyc.gov/html/dcla/downloads/pdf/init_dbap_form.pdf
- Compliance with New York State Charities Bureau Requirements
 - Our agency is charged with verifying that your organization has complied in a timely manner with the requirements of the Charities Bureau of the Office of the Attorney General of New York State. The Department of Cultural Affairs will confirm compliance with this state requirement before grant funds can be dispersed.
- Clearance from the City Council and Mayor's Office of Contract Services (MOCS)
 - All City Council Initiative awards must be cleared by the City Council and Mayor's Office of Contract Services (MOCS); DCA can only proceed with payment once it receives confirmation of clearance from MOCS. To track the clearance status of your award, use the [Discretionary Award Tracker](#) on the MOCS website.
 - All organizations receiving discretionary funding greater than \$10,000 must have a senior staff person complete a mandatory capacity building training session and receive a training certificate. The training is coordinated by the Mayor's Office of Contract Services (MOCS). The certification is valid for three (3) fiscal years and may only be claimed by the individual who completed the training. Organizations that do not have a certified individual on staff must complete the training. To register for an online or in-person training, visit the [MOCS website](#).
 - NOTE: Previously, City Council discretionary awards above \$10,000 required the funded organization to become prequalified. This is no longer a requirement of DCA grantees.
- Lobbying Certification Form *(if not previously submitted in FY17)*
 - All organizations receiving City Council Initiative funding must complete a [Lobbying Certification](#), which certifies that your organization is in compliance with City and State Lobbying Law requirements. If your organization previously submitted a Lobbying Certification Form to DCA for a CDF grant in FY17, an additional form is *not* required. If your organization has not previously submitted the form in FY17, please complete and sign a Lobbying Certification form and return it

with your FY17 Initiative Grant Materials. Should you have any questions, consult the [City Clerk's website](#). Any remaining questions may be addressed to DCA's Chief Contracting Officer, Louise Woehrle, at lwoehrle@culture.nyc.gov.

For New Grantees and Grantees with New Mailing Addresses:

- o Substitute W-9 Form
 - If your organization has not previously received City funding, or has moved since last receiving funds, information in the City's computerized Financial Management System (FMS) may need to be entered or updated. Complete a [Substitute W-9 Form](#) and, for grantees with new mailing addresses, attach a letter on your organization's letterhead that states the previous address and the corrected mailing address.

For Grant Agreements Greater than \$25,000:

- o Electronic Funds Transfer *(if not currently enrolled)*
 - We encourage all organizations to sign up for electronic payments. For organizations receiving more than \$25,000, Electronic Funds Transfer is the required means of payment. For all other organizations, the City charges of \$3.50 per paper check, to be deducted from each payment. Enrollment is quick and easy. Instructions on how to register for electronic payments can be found on the [Department of Finance's website](#). *Do not send EFT materials to DCA. Registration is handled by the Department of Finance.*

For Grant Agreements Greater than \$50,000:

- o Insurance Requirements *(if not previously submitted in FY17; if previously submitted policies have since expired, updated documents are required to show contiguous coverage since July 1, 2016)*
 - Organizations receiving a grant greater than \$50,000 must submit documentation for the below insurance requirements. *NOTE: Organizations receiving grants of \$50,000 or less are NOT required to submit insurance documentation. This is a change from previous years.*
 1. Commercial General Liability (CGL)
 2. Additional Insurance Endorsement - to confirm the City is an additional insured
 3. Certification by Insurance Broker or Agent - to ensure that the CGL information is accurate
 4. Workers' Compensation and Disability Benefits Insurance

If your insurance has expired since November 1, 2016, you must provide updated insurance policy documents indicating current coverage.

To meet each requirement:

- o We recommend you contact your organization's insurance broker or representative.
- o Your organization may submit photocopies of all required forms.
- o Coverage is required for the entirety of the grant period, July 1, 2016 – June 30, 2017.
 - Because your organization's insurance coverage period may differ from the grant period, multiple certificates may need to be submitted (e.g., Sept. 2015-2016 AND Sept. 2016-2017).
 - If insurance for the entire grant period has not yet been acquired, the certificate(s) submitted by your organization must cover, at minimum, July 1, 2016 through the date you submit your grant materials.
- o For organizations using fiscal conduits, the certificates provided may list *either* the conduit or the applicant organization as the insured entity.
- o Detailed instructions and examples of the most common insurance forms are noted below. Some organizations, insurance companies, or brokers may use different acceptable forms. Regardless of the form used, the specific requirements outlined below must be met.

1. Commercial General Liability:

- The [Acord 25](#) certificate is the most common form used; a sample form is provided here for your reference.
 - Groups are required to have adequate coverage for the entirety of the grant period (July 1, 2016 – June 30, 2017).
 - Because your organization's insurance coverage period may differ from the grant period, multiple certificates may need to be submitted (e.g., Sept. 2015-2016, AND Sept. 2016-2017).
 - If insurance for the entire grant period has not yet been acquired, the certificate(s) submitted by your organization must cover, at minimum, July 1, 2016 through the date you submit your grant materials.
 - Coverage limit must be adequate (\$1 million per occurrence).
 - The form must indicate that "The City of New York, including its officials and employees, is an additional insured."
 - This exact language must be used. The Department of Cultural Affairs, or any specific city agency, must NOT be specified.
 - On an Acord 25 certificate this information should be included in the "Description of Operations" field.
 - The Department of Cultural Affairs must be identified as the "Certificate Holder" using our full correct address.
 - City of New York
 - Department of Cultural Affairs
 - 31 Chambers Street, 2nd Floor
 - New York, NY 10007
 On an Acord 25 certificate this information should be included in the "Certificate Holder" field.
 - The insurance company's information and Producer's name, address, and phone number must be included.
 - The NAIC Insurance Code must be typed for all insurers affording coverage.
 - *NOTE: All insurance policies must be maintained with companies that may lawfully issue the required policy and have an A.M. Best rating of at least A-7 or a Standard and Poor's rating of at least A, unless prior written approval is obtained from the Mayor's Office of Operations.*
- If your organization does not carry Commercial General Liability insurance for the full grant period, but instead carries special event insurance for your specific activities, you may send proof of that insurance as a substitute. This documentation is expected to meet the same requirements as those outlined above for the limited period, and must cover all DCA-funded activity.

2. Additional Insured Endorsement

- In tandem with the proof of General Liability Coverage, the insurance broker or agent must provide an "Additional Insured Endorsement" which modifies the policy to include the City as additional insured.
- The form must indicate that "The City of New York, including its officials and employees, is an additional insured."
 - This exact language must be used. The Department of Cultural Affairs, or any specific city agency, must NOT be specified.
- A funded organization's CGL policy naming the City, including its officials and employees, as an additional insured must be in effect for the entire grant term, July 1, 2016 to June 30, 2017.
 - The [CG-20 26 04 13](#) or [CG-20 10 04 13](#) are each commonly used; samples of both forms are provided here for your reference (only one need be submitted).

3. Certification by Insurance Broker or Agent

- In tandem with the proof of General Liability Coverage:
 - The insurance broker or agent must also certify on the provided [Certification by Insurance Broker or Agent](#) form that the information contained on the Acord certificate, or other certificate used to show proof of Commercial General Liability coverage, is accurate.

--OR--

- You may provide a copy of the policy, certified by an authorized representative of the issuing insurance carrier. If any policy is not available at the time of submission, certified binders may be submitted until such time as the policy is available, at which time a certified copy of the policy shall be submitted.

4. Workers' Compensation and Disability Benefits

- If your organization has salaried employees (i.e., staff receiving a W-2), you are required to have adequate coverage for the entirety of the grant period (July 1, 2016 – June 30, 2017)
 - Because your organization's insurance coverage period may differ from the grant period, multiple certificates may need to be submitted (e.g., Sept. 2015-2016, AND Sept. 2016-2017).
 - If insurance for the entire grant period has not yet been acquired, the certificate(s) submitted by your organization must cover, at minimum, July 1, 2016 through the date you submit your grant materials.
- *Workers' Compensation*
 - There are several forms that can be used as documentation.
 - The [C-105.2](#) is commonly used; a sample form is provided here for your reference.
- If you are insured by the New York State Insurance Fund (NYSIF), you may obtain a U-26.3 at the Fund's website: www.nysif.com. Click on "Print a Certificate" and follow the prompts.
- *Disability Benefits*
 - There are several forms that can be used as documentation. The [DB-120.1](#) is commonly used; a sample form is provided here for your reference.

--OR--

- If your organization has NO salaried employees (i.e., staff receiving a W-2) and therefore does not carry Workers' Compensation or Disability Benefits insurance, you must fill out and submit the provided [Insurance/Employees Certification form](#).

For Grant Agreements of \$100,000 or More:

- Comptroller Requirements (if not previously submitted in FY17)
 - Grant Agreements with organizations receiving \$100,000 or more must be filed with the Comptroller's Office before any payment can be issued. Because of these procedures, awards greater than \$100,000 take longer to process. In addition to the four signed Grant Agreements and the Insurance and other documentation required for a grant Agreement of this size, submit the original, signed copies of the below forms (photocopies will NOT be accepted).
 - NOTE: if your organization's FY17 CDF award was \$100,000 or more and you have already submitted these additional required materials to DCA, you do not need to submit them again.
- 1. [Organization Certification](#)
 - If any of the statements are not true, an explanation on a separate sheet must be attached.
- 2. TWO [Individual Certifications](#) (one for CEO/Executive Director, one for CFO/Treasurer).
 - If any of the statements are not true, an explanation on a separate sheet must be attached.
 - NOTE: If your CEO and CFO are the same individual, s/he must complete two forms.

PAYMENT AND REPORTING

Every Grant Agreement includes a payment schedule that is based on the services provided and associated costs. Funds will be released according to that schedule. However, funds will not be available until after the start of the grant period, and funded organizations are expected to move forward with their project in advance of receipt of funding.

Most organizations will receive 80% of the total designation as an initial payment once compliant with City funding requirements. If the City budget demands, reductions may be taken against final payments. Final payment is based on submission of an Initiative Final Report form, which DCA will distribute near the end of the fiscal year. Organizations that do not comply with reporting requirements in a timely manner may lose current funding and be ineligible for future funding from DCA.

PERFORMANCE AND EVALUATION

Because Initiative designations are made with public funds, the expenditure of those funds will be monitored to verify the program's compliance with the terms of the Grant Agreement. Performance evaluations will be based on review of the quality and timeliness of the documents submitted, as well as through site visits and program reviews. An unsatisfactory performance record may be a determining factor in considering future City funding.

The Department of Cultural Affairs and the New York City Council welcome the opportunity to better know the services being provided with Initiative funds. Site visits consisting of attendance at performances, presentations, exhibits, classes or other activities enable the staff to evaluate compliance as well as to build a body of information about your programs. Please be sure to add to your mailing list the Council member who designated your Initiative funding, as well as your DCA Program Specialist.

CREDIT

The agency's credit line and logo are an appropriate symbol and an acknowledgement of public funding for your work, and we request that you carefully note the credit stipulations contained in your Grant Agreement:

- All printed or digital programs, brochures, flyers, posters, announcements or similar matter relating to services funded by DCA are required to include, in a legible manner, in appropriate type size and without abbreviation, the following statement: **"This program is supported, in part, by public funds from the New York City Department of Cultural Affairs in partnership with the City Council."**
- The Department of Cultural Affairs logo is also required to appear on these materials. Each organization obtaining a logo will do so subject to a standard logo policy and terms of use. Email pr@culture.nyc.gov with logo-related questions.
- In addition to the logo and credit line stipulated, any printed list of contributors to a program or service funded by DCA, either alphabetical or by contribution category, is required to include the "New York City Department of Cultural Affairs."
- Any group receiving City Council Initiative funding should be sure to acknowledge Council support and include the appropriate credit to the Council member/s who provided it on related materials.

Please review with your staff the appropriate use of the logo and other credit requirements and emphasize their importance. The support you receive from the City allows you to deliver services of benefit to New Yorkers, and New Yorkers will appreciate knowing their funds are being put to good use.

FURTHER QUESTIONS

Initiative allocations are designated by City Council members and administered by DCA. Please contact your Council member with questions about their designation. Administrative questions should be directed to your organization's assigned Program Specialist, or the DCA Program Services Help Desk at (212) 513-9381.



CITY COUNCIL INITIATIVE DESIGNATIONS FISCAL 2017 GRANT MATERIALS CHECKLIST

Applicant's Legal Name: _____

Organization Tax ID (EIN): _____

Initiative: _____

Below is a list of grant materials that must be submitted in order for DCA to process your initial payment. Refer to your notification email for deadlines. Please include a copy of this checklist as the cover page for your grant materials.

FOR ALL GRANTEES:

- THREE original, double-sided copies of the signed Grant Agreement, each with an original signature (FOUR if award is \$100,000 or greater)
 - THREE copies of each 2-page Project Synopsis form, inserted after page 4 of the Grant Agreement. (FOUR if award is \$100,000 or greater)
 - All Project Synopsis forms must **also** be uploaded online (*see Funding Requirements*)
 - ONE copy of the Doing Business Data Form
 - ONE copy of the Lobbying Certification (*if not previously submitted in FY17*)
- NOTE: Check [Discretionary Award Tracker](#) for other documents needed to fulfill MOCS requirements

FOR GRANTEES THAT ARE NEWLY FUNDED OR HAVE NEW MAILING ADDRESSES:

- ONE copy of the Substitute W-9 Form
- ONE copy of a letter requesting a change of address (*for previously funded organizations with a new mailing address*)

FOR GRANTEES WITH AWARDS GREATER THAN \$50,000 (*if not previously submitted in FY17, and valid until at least one month following submission*):

- ONE copy of documentation for each of the Insurance Requirements listed below (photocopies are acceptable):
 - Commercial General Liability Insurance
 - Additional Insurance Endorsement
 - Certification by Insurance Broker or Agent
 - Workers' Compensation AND Disability Benefits Insurance

FOR GRANTEES WITH AWARDS OF \$100,000 OR MORE (*if not previously submitted in FY17*):

- ONE original, signed Organization Certification
- TWO original, signed Individual Certifications

Grant materials should be addressed as follows:

NYC Department of Cultural Affairs
Program Services - FY17 Initiative Grant Materials
31 Chambers Street, 2nd Floor
New York, NY 10007